



File No. 1084D

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

MARTIN GOLDBERG et al

Serial No. 10/722,032

Filed: November 25, 2003

For: SUBSTRATE PREPARATION PROCESS

)  
)  
) Examiner: TBD  
)  
) Art Unit: 1646  
)  
) Preliminary Amendment  
)  
)  
)

*Fee  
Purpose  
only*

COMMISSIONER OF PATENTS  
Alexandria, VA 22313

Sir:

Prior to examination of the present application, Applicant respectfully requests entry of the following amendments.

Amendments to the Claims are reflected in the listing of claims which begins on page 2 of this paper.

Remarks begin on page 7 of this paper.

Attachments to this document can be found following page 13 of this paper.

3/30/2004 CHUYEN 00000131 010431 10722032

1 FC:1202 144.00 DA  
2 FC:1201 172.00 DA

12/01/2004 DWILLIAD 00000001 010431 10722032

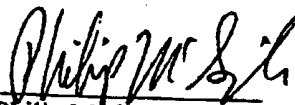
01 FC:1202 USSN 10/722,032

| FEE VALUE<br>ACCOUNTABILITY |                    |
|-----------------------------|--------------------|
| DEPOSIT ACCOUNT NO.         |                    |
| 01                          | 0431               |
| FEE<br>CODE                 | VALUE<br>FURNISHED |
| 1202                        | 18.00              |
|                             |                    |
|                             |                    |
|                             |                    |

Entry of the foregoing is respectfully requested.

Respectfully submitted,  
AFFYMETRIX, INC.

Date: 3-26-04

By:   
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Reg. # 31,395

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PTO/SB/17 (10-03)  
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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 316

Complete if Known

Application Number 10/722,032  
Filing Date November 25, 2004  
First Named Inventor Martin Goldberg et al  
Examiner Name Unknown  
Art Unit 1646  
Attorney Docket No. 1084D

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number 01-0431

Deposit Account Name Affymetrix, Inc.

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments  
☒ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

## 1. BASIC FILING FEE

| Large Entity | Fee Code | Fee (\$) | Small Entity | Fee Code | Fee (\$) | Fee Description        | Fee Paid |
|--------------|----------|----------|--------------|----------|----------|------------------------|----------|
| 1001         | 770      | 2001     | 385          |          |          | Utility filing fee     |          |
| 1002         | 340      | 2002     | 170          |          |          | Design filing fee      |          |
| 1003         | 530      | 2003     | 265          |          |          | Plant filing fee       |          |
| 1004         | 770      | 2004     | 385          |          |          | Reissue filing fee     |          |
| 1005         | 160      | 2005     | 80           |          |          | Provisional filing fee |          |
| SUBTOTAL (1) |          |          |              |          |          |                        | (S) 0    |

## 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 28                 | -20 **       | 8              | 18       |
| Independent Claims | 5            | -3 **          | 2        |
| Multiple Dependent |              |                |          |

| Large Entity | Fee Code | Fee (\$) | Small Entity | Fee Code | Fee (\$) | Fee Description  |
|--------------|----------|----------|--------------|----------|----------|--|
| 1202         | 18       | 2202     | 9            |          |          | Claims in excess of 20                                     |
| 1201         | 88       | 2201     | 43           |          |          | Independent claims in excess of 3                          |
| 1203         | 290      | 2203     | 145          |          |          | Multiple dependent claim, if not paid                      |
| 1204         | 88       | 2204     | 43           |          |          | ** Reissue independent claims over original patent         |
| 1205         | 18       | 2205     | 9            |          |          | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (S) 316

\*\*or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

| Large Entity | Fee Code | Fee (\$) | Small Entity | Fee Code | Fee (\$) | Fee Description  | Fee Paid |
|--------------|----------|----------|--------------|----------|----------|--|----------|
| 1051         | 130      | 2051     | 65           |          |          | Surcharge - late filing fee or oath  |          |
| 1052         | 50       | 2052     | 25           |          |          | Surcharge - late provisional filing fee or cover sheet                     |          |
| 1053         | 130      | 1053     | 130          |          |          | Non-English specification  |          |
| 1812         | 2,520    | 1812     | 2,520        |          |          | For filing a request for reexamination                                     |          |
| 1804         | 920*     | 1804     | 920*         |          |          | Requesting publication of SIR prior to Examiner action                     |          |
| 1805         | 1,840*   | 1805     | 1,840*       |          |          | Requesting publication of SIR after Examiner action                        |          |
| 1251         | 110      | 2251     | 55           |          |          | Extension for reply within first month                                     |          |
| 1252         | 420      | 2252     | 210          |          |          | Extension for reply within second month                                    |          |
| 1253         | 950      | 2253     | 475          |          |          | Extension for reply within third month                                     |          |
| 1254         | 1,480    | 2254     | 740          |          |          | Extension for reply within fourth month                                    |          |
| 1255         | 2,010    | 2255     | 1,005        |          |          | Extension for reply within fifth month                                     |          |
| 1401         | 330      | 2401     | 165          |          |          | Notice of Appeal   |          |
| 1402         | 330      | 2402     | 165          |          |          | Filing a brief in support of an appeal                                     |          |
| 1403         | 290      | 2403     | 145          |          |          | Request for oral hearing   |          |
| 1451         | 1,510    | 1451     | 1,510        |          |          | Petition to institute a public use proceeding                              |          |
| 1452         | 110      | 2452     | 55           |          |          | Petition to revive - unavoidable   |          |
| 1453         | 1,330    | 2453     | 665          |          |          | Petition to revive - unintentional   |          |
| 1501         | 1,330    | 2501     | 665          |          |          | Utility issue fee (or reissue)   |          |
| 1502         | 480      | 2502     | 240          |          |          | Design issue fee   |          |
| 1503         | 640      | 2503     | 320          |          |          | Plant issue fee  |          |
| 1460         | 130      | 1460     | 130          |          |          | Petitions to the Commissioner  |          |
| 1807         | 50       | 1807     | 50           |          |          | Processing fee under 37 CFR 1.17 (q)                                       |          |
| 1806         | 180      | 1806     | 180          |          |          | Submission of Information Disclosure Sheet                                 |          |
| 8021         | 40       | 8021     | 40           |          |          | Recording each patent assignment per property (times number of properties) |          |
| 1809         | 770      | 2809     | 385          |          |          | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 1810         | 770      | 2810     | 385          |          |          | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 1801         | 770      | 2801     | 385          |          |          | Request for Continued Examination (RCE)                                    |          |
| 1802         | 900      | 1802     | 900          |          |          | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (S) 0

SUBMITTED BY

Complete (if applicable)

|                   |                             |                                   |                |           |              |
|-------------------|-----------------------------|-----------------------------------|----------------|-----------|--------------|
| Name (Print/Type) | Philip L. McGarrigle        | Registration No. (Attorney/Agent) | 31,395         | Telephone | 408-731-5000 |
| Signature         | <i>Philip L. McGarrigle</i> | Date                              | March 26, 2004 |           |              |

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This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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